

Form PTC-1449

Docket Number (Optional)
MIM-022.05Application Number
08/979,983

INFORMATION DISCLOSURE CITATION

IN AN APPLICATION

(Use several sheets if necessary)

FEB 20 1998

Applicant
Silvio MicaliFiling Date
November 26, 1997Group Art Unit
3642

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SKA	AA 5,659,616	08/1997	Sudia	380	23	07/1996
↓	AB 5,677,955	10/1997	Doggett et al.	380	24	04/1995
↓	AC 5,687,235	11/1997	Perlman et al.	380	25	10/1995
↓	AD 5,699,431	12/1997	Van Oorschot et al.	380	30	11/1995
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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	AL						
	AM						
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SK	AQ	A Dictionary of Modern Legal Usage, Oxford University Press 1987, page 930					
	AR						
	AS						

EXAMINER

DATE CONSIDERED

A. J. H. S. K. H. H. H.

5/17/00

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Form PTO-1449

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

Device Number (Optional)

U/17957-0022B

Application Number

08/741,001

Applicant

Silvio Micali

Filing Date

November 1, 1996

Group Art Unit

TO BE ASSIGNED

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SK	AA 60/004,796		Micali, S.			10/2/95
	AB 08/559,533		Micali, S.			11/16/95
	AC 60/025,128		Micali, S.			8/29/96
	AD 60/024,786		Micali, S.			9/10/96
	AE 08/715,712		Micali, S.			9/19/96
	AF 08/728,675		Micali, S.			10/10/96
	AG 08/746,007		Micali, S.			11/5/96
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FOREIGN PATENT DOCUMENTS

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(Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

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Form PTO-1449

**INFORMATION DISCLOSURE CITATION
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(Use several sheets if necessary)

Docket Number (Optional)

U/17957-0022B

Applicant

Silvio Micali

Filing Date

November 1, 1996

Serial Number

41,601

Gross Unit

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SK	AA 5,450,493	09/12/95	Maher	380	30	
	AB 5,537,475	07/16/96	Micali	380	30	
	AC 08/608,134		Micali			02/28/96
	AD 90/004,215		Micali			04/10/96
	AE 08/636,854		Micali			04/23/96
	AF 08/649,905		Micali			05/15/96
	AG 08/648,344		Micali			05/15/96
	AH 08/729,619		Micali			10/11/96
	AI 08/753,589		Micali			11/26/96
	AJ 08/763,536		Micali			12/09/96
X	AK 4,200,770	04/29/80	Hellman			
X	AL 4,218,582	08/19/80	Hellman			

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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SK	AR	Cygnacom Solutions, Inc., "Federal Public Key Infrastructure (PKI) Technical Specifications Part D - Interoperability Profiles," Published on the World Wide Web, September 27, 1995, 91 pages.
IX	AS	Nazario, N., "Federal Public Key Infrastructure (PKI) Version 1 Technical Specifications: Part B - Technical Security Policy," Published on the World Wide Web, March 13, 1996, 20 pages.
	AT	Polk, W., editor, "Federal Public Key Infrastructure (PKI) Technical Specifications (Version 1) Part A: Requirements," Published on the World Wide Web, December 6, 1996, 18 pages.

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**INFORMATION DISCLOSURE CITATION
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Docket Number (Optional)

U/17957-0022B

Application Number

08/1601

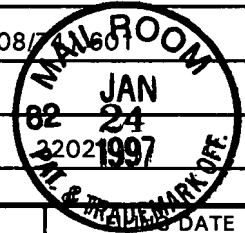
Applicant

Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit


U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	DATE IF APPROPRIATE
SKX	BA 4,309,569	01/05/82	Merkle			
LY	BB 4,326,098	04/20/82	Bouricius			
	BC 4,881,264	11/14/89	Merkle			
	BD 4,926,480	05/15/90	Chaum			
	BE 5,003,597	03/26/91	Merkle			
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	BG 5,157,726	10/20/92	Merkle			
	BH 5,231,666	7/27/93	Matyas			
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	BJ 5,432,852	7/11/95	Leighton			
	BK 5,544,322	8/6/96	Cheng			

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
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	BL						
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(Including Author, Title, Date, Pertinent Pages, Etc.)

SKX	BQ	Ford, Warwick, "A Public Key Infrastructure for U.S. Government Unclassified but Sensitive Operations," Published on the World Wide Web, September 1, 1995, 93 pages.
LY	BR	Chokhani, Santosh, et al., "Certificate Policy and Certification Practice Statement Framework", Published on the World Wide Web, November 3, 1996.
	BS	Burr, William E. et al., "A Proposed Federal PKI Using X.509 V3 Certificates," Published on the World Wide Web.

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**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

Docket Number (Optional)

U/17957-0022B

Application Number

08/74

Applicant

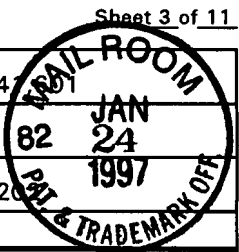
Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit

220


U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SK	CA 60/006,038		Micali			10/24/95
IX	CB 5,261,002	11/9/93	Perlman			
	CC 08/756,720		Micali			11/26/96
	CD 60/033,415		Micali			12/18/96
	CE					
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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
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	CL						
	CM						
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	CO						
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SKX	CQ	Burr, W.E., "Public Key Infrastructure (PKI) Technical Specifications (Version 1): Part C - Concept of Operations," Published on the World Wide Web, February 12, 1996, 30 pages.
IX	CR	Ford, Warwick, "Public-Key Infrastructure Standards," Published on the World Wide Web, October 1996, 15 printed pages.
	CS	Polk, William T., "Minimum Interoperability Specifications for PKI Components," Published on the World Wide Web, November, 1996.

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Docket Number (Optional)

U/17957-0022B

Application Number

08/74,601

Applicant

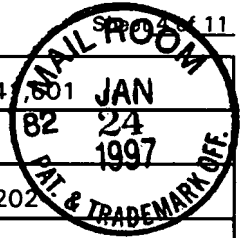
Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit

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U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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						YES	NO
	DL						
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SIC	DQ	Chokhani, Santosh, "Security Considerations in Using X. 509 Certificates," Published on the World Wide Web.
↓	DR	Dodson, Donna F., "NIST PKI Implementation Projects," Published on the World Wide Web.
↓	DS	Burr, William, "A Proposed Federal PKI Using X. 509 V3 Certificates: The NISSC Presentation," Published on the World Wide Web.
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**INFORMATION DISCLOSURE CITATION
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Docket Number (Optional)

U/17957-0022B

Application Number

08/74,801

Applicant

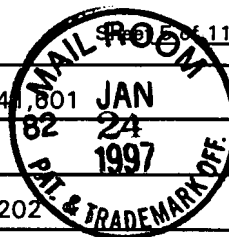
Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit

2202


U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
EL							
EM							
EN							
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EP							

OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SE	EQ	Nazario, Noel et al., "Management Model for the Federal Public Key Infrastructure," Published on the World Wide Web, October 24, 1996.
17	ER	Nazario, Noel A., "Security Policies for the Federal Public Key Infrastructure," Published on the World Wide Web, October 24, 1996.
↓	ES	Burr, William, et al., "MISPC: Minimum Interoperability Specifications for PKI Components," Published on the World Wide Web, December 2, 1996.

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U/17957-0022B

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08/74

Applicant

Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit

22


U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
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	FL						
	FM						
	FN						
	FO						
	FP						

OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SIC ✓ ↓	FQ	Escrowed Encryption Standard (EES) FIPS Pub. 185, February 9, 1994.
	FR	Chaum, D., "Untraceable Electronic Mail, Return Addresses, and Digital Pseudonyms," <u>Communications of the ACM</u> , Vol. 24, No. 2, February 1981, pp. 84-88.
	FS	Gennaro, Rosario et al., "Robust Threshold DSS Signatures," Abstract from <u>EuroCrypt '96</u>

EXAMINER

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U/17957-0022B

Application Number

08/741,5

Applicant

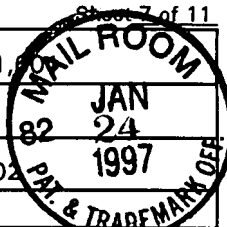
Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit

2202


U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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FOREIGN PATENT DOCUMENTS

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	GL						
	GM						
	GN						
	GO						
	GP						

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(Including Author, Title, Date, Pertinent Pages, Etc.)

SE	GQ	Harn, L., "Group Oriented (t,n) threshold digital signature scheme and digital multisignature," <u>IEE Proc. - Comput. Digit. Tech.</u> , Vol. 141, No. 5, Sept. 1994, pp. 307-313.
	GR	Micali, Silvio, "Enhanced Certificate Revocation System," Technical Report, November 1995.
	GS	Rivest, Ronald et al., "SDS -- A Simple Distributed Security Infrastructure," September 15, 1996, Published on the World Wide Web.
	GT	Farrell, S., et al., "Internet Public Key Infrastructure Part III: Certificate Management Protocols," Published on the World Wide Web, December 1996, 83 printed pages.

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U/17957-0022B

Application Number

08/741,600

Applicant

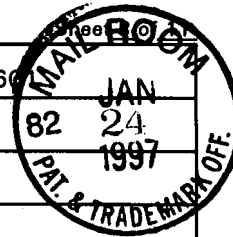
Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit

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U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	HL						
	HM						
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SK	HQ	Farrell, S., et al., "Internet Public Key Infrastructure Part III: Certificate Management Protocols," Published on the World Wide Web, June 1996, pp. 1-36.
10	HR	ANSI X9.57-199X "Public Key Cryptography for the Financial Services Industry: Certificate Management," (working draft), June 21, 1996, 86 pages.
11	HS	ANSI X9.55-199X "Public Key Cryptography for the Financial Services Industry: Extensions to Public Key Certificates and Certificate Revocation Lists," (working draft), July 3, 1996, 37 pages.
12	HT	"Final Text of Draft Amendments DAM 4 to ISO/IEC 9594-2, DAM 2 to ISO/IEC 9594-6, DAM 1 to ISO/IEC 9594-7, and DAM 1 to ISO/IEC 9594-8 on Certificate Extensions," June 30, 1996, 41 pages.

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INFORMATION DISCLOSURE CITATION IN AN APPLICATION

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Applicant

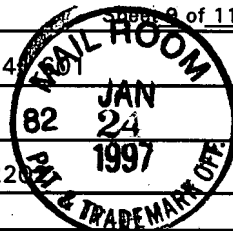
Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit

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U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SKX	IQ	International Standard ISO/IEC 9594-8, "Information Technology - Open Systems Interconnection - The Directory: Authentication Framework," <u>ISO/IEC</u> , second edition, September 15, 1996.
IX	IR	"Public Key Infrastructure Study - Final Report," National Institute of Standards and Technology, April 1994.
✓	IS	Bellare, M., et al., "Incremental Cryptology: The Case of Hashing and Signing," <u>Proceedings of Crypto '95</u> , 1995, pp. 216-233.
✓	IT	Housley, R., et al., "Internet Public Key Infrastructure Part I: X.509 Certificate and CRL Profile," June 1996, Published on the World Wide Web, pp. 1-30.

EXAMINER

DATE CONSIDERED

Attyl E KLM

5/17/00

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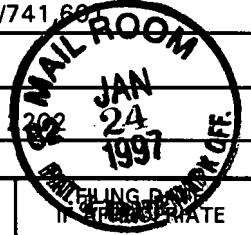
Applicant

Micali, Silvio

Filing Date

November 1, 1996

Group Art Unit


U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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(Including Author, Title, Date, Pertinent Pages, Etc.)

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	JR	Lamport, L., "Password Authentication with Insecure Communication," <u>Communications of the ACM</u> , Nov. 1981, pp. 770-772.
	JS	Linn, J., "Privacy Enhancement for Internet Electronic Mail: Part I - Message Encipherment and Authentication Procedures," IAB Privacy Task Force, Request for Comments No. 113, August 1989, pp. 1-30.
	JT	Micali, S. et al., "An Efficient Zero-Knowledge Method for Answering Is He In or Out?," Abstract, presented by M. Rabin at the National Computer Science Institute in Berkeley, CA, December 1995.

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Applicant

Micali, Silvio

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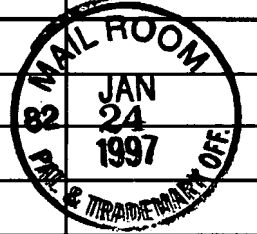
November 1, 1996

Group Art Unit

2202

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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	KL						
	KM						
	KN						
	KO						
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SK	KQ	Micali, S., "Computationally-Sound Proofs," April 11, 1995, <u>MIT Laboratory for Computer Science</u> , 55 pages.
↓	KR	Rivest, et al., "A Method for Obtaining Digital Signatures and Public-Key Cryptosystems," <u>Communications of the ACM</u> , February 1978, pp. 120-126.
↓	KS	Rivest, et al., "PayWord and MicroMint: Two Simple Micropayment Schemes," Nov. 7, 1995, <u>MIT Laboratory for Computer Science/Weizmann Institute of Science</u> , 11 pages.
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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Form PTO-1449

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

Docket Number (Optional)
U/17957-00228

Applicant
Silvio Micali

Filing Date
November 1, 1996

Application Number
~~007741,891~~ 00/979993

Date
May 9, 1997

Group Art Unit
~~2202~~ 2707

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SKX	AA 5,136,646	8/1992	Haber et al.			
L	AB 5,136,647	8/1992	Haber et al.			
8	AC RE 34,954	5/1995	Haber et al.			
↓	AD 5,606,617	2/1997	Brands			
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GROUP 2200

FOREIGN PATENT DOCUMENTS

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						YES	NO
	AM						
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

SKX	AO	Elgamal, et al., Securing Communications on the Intranet and Over the Internet. Netscape Communications Corporation, July 1996
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EXAMINER

DATE CONSIDERED

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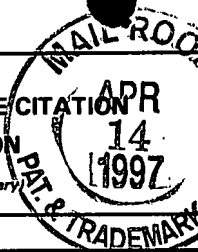
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

Form PTO-1449

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)



Serial Number (Optional)

U/1 1957-00228

Applicant

SIRIO Micali

First Date

November 1, 1996

Application Number

03/744,803

Date

April 10, 1997

Group Art Unit

2202

2766

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SR	AA 4,943,707	7/1990	Boggan	—	—	
IX	AB 5,340,969	8/1994	Cox	—	—	
↓	AC 5,396,624	3/1995	Campbell, Jr.	—	—	
	AD					
	AE					
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	AH					
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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

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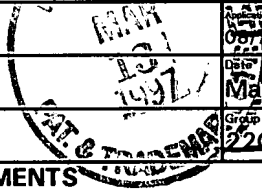
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DATE CONSIDERED

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Form PTO-1449		Docket Number (Optional) U/17957-0022B		 Application Number 08/744,904 08/979983			
INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary)		Applicant Silvio Micali		Date March 10, 1997			
		Filing Date November 1, 1996		Group Art Unit 2202 2766			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA						
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FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
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	AN						
OTHER DOCUMENTS						(Including Author, Title, Date, Pertinent Pages, Etc.)	
SK	AR	Facsimile message from Chini Krishnan of Integris Security, Inc. to Professor Silvio Micali, dated February 17, 1997, 7 pages including cover sheet, submitted in attached sealed envelope as PROPRIETARY MATERIAL NOT OPEN TO PUBLIC. TO BE OPENED ONLY BY EXAMINER OR OTHER AUTHORIZED PATENT AND TRADEMARK OFFICE EMPLOYEE.					
	AS	Facsimile message from Chini Krishnan of Integris Security, Inc. to Professor Silvio Micali, dated February 25, 1997, 12 pages including cover sheet, submitted in attached sealed envelope as PROPRIETARY MATERIAL NOT OPEN TO PUBLIC. TO BE OPENED ONLY BY EXAMINER OR OTHER AUTHORIZED PATENT AND TRADEMARK OFFICE EMPLOYEE..					
	AT	International Search Report from PCT/US 96/17374, dated February 19, 1997, 7 pages.					
	AU	Toward a national public key infrastructure. IEEE Communications Magazine, Sept. 1994, vol. 32, no. 9, ISSN 0163-6804, pages 70-74.					
	AV	The Digital Distributed System Security Architecture. Proceedings of the 12 th National Computer Security Conference, 1989, pages 305-319.					
	AW	one page e-mail message from Dr. Micali to Integris dated March 4, 1997, regarding references AR and AS.					
	AX	two page e-mail message from Dr. Micali to Integris dated March 4, 1997, mentioning references AR and AS.					
	AY	one page reply e-mail message from Integris to Dr. Micali dated March 5, 1997, confirming confidential status of references AR and AS.					
EXAMINER <i>Styl E Kabbell</i>			DATE CONSIDERED 5/17/00				
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.							

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION MAR 16 1998 <small>(Use several sheets if necessary)</small>		Docket Number (Optional) MIM-022.05		Application Number 08/979,983			
Applicant Silvio Micali		Filing Date November 26, 1997			Group Art Unit 3642		
U.S. PATENT DOCUMENTS							
EXAMINER'S INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<div style="font-size: 2em;">SK</div> <div style="font-size: 2em;">↓</div> <div style="font-size: 2em;">8</div>	AA	5,005,200	04/1991	Fischer	380	30	03/1989
	AB	5,666,416	09/1997	Micali	380	23	11/1995
	AC	5,717,757	02/1998	Micali	380	25	11/1996
	AD	5,717,758	02/1998	Micali	380	25	12/1996
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FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
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OTHER DOCUMENTS <small>(Including Author, Title, Date, Pertinent Pages, Etc.)</small>							
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	AS						
EXAMINER <div style="font-size: 1.5em; font-family: cursive;">A. Styl 8 Kdp/W</div>				DATE CONSIDERED <div style="font-size: 1.5em; font-family: cursive;">5/17/00</div>			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.							

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Form PTO-1449

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

Docket Number (Optional)

MIM-02205

Application Number

08/979,983

Applicant

Silvio Micali

Filing Date

November 26, 1997

Group Art Unit

2202

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SKY	AA 5,826,262	10/98	Bui et al.			
SKY	AB 5,551,027	8/96	Choy et al.			
	AC					
	AD					
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					
	AK					

FOREIGN PATENT DOCUMENTS

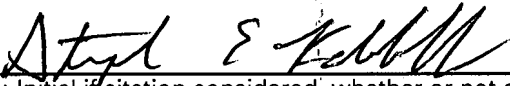
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
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OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER



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5/17/00

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